

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners, awards, and tokens of appreciation they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)(c) at (b)(6), (b)(7)(c) or e-mail him at (b)(6), (b)(7)(c) to discuss this.

1. Name, date and time, and location of event.

SIFMA Compliance & Legal 2017 Annual Seminar
March 19-22, 2017
Marriott Marquis San Diego Marina

2. Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal).

Keynote speaker - speech

3. Estimated cost per attendee of event.

\$950

4. Are any attendees being charged to attend the event?

Yes, attendees are charged to attend the seminar.

- a. If so, who (in general) is being offered free attendance, and who is expected to pay?

A limited number of speaker and sponsors of the event are offered complimentary registration.

5. Name of entity extending the invitation and link to web site (if any).

SIFMA (Securities Industry and Financial Markets Association)
Event Website: www.sifma.org/cl2017

- a. Is the entity extending the invitation registered with the Secretary of the Senate and the Clerk of the House of Representatives as a lobbyist pursuant to Section 1603(a) of Title 2 of the United States Code?

Yes

6. Sponsor of event if different from above.

- a. Is the sponsor of the event registered with the Secretary of the Senate and the Clerk of the House of Representatives as a lobbyist pursuant to Section 1603(a) of Title 2 of the United States Code?

N/A - same entity as above

7. Names of additional entities that will be recognized for sponsorship or support of the event.

Law firms and consultants sponsor the seminar. A full listing of confirmed sponsors can be viewed here:

http://www.sifma.org/2017/compliance_and_legal_society_annual_seminar/sponsor/advertise/

8. How many persons are expected to attend?

1,900 attendees

9. Demographics of expected attendees (*e.g.*, lawyers; law enforcement; business leaders; students; etc.)

Financial industry (in-house counsel, senior compliance officers and senior executives) attendees: 45%

Lawyers: 45%

Consultants: 7%

Regulators: 3%

10. Are any elected officials expected to attend and, if so, what is their expected role?

No elected officials are expected to attend.

11. Will there be any political activity at the event (i.e., any activity directed toward the success or failure of a political party, candidate for a partisan political office or partisan political group, for example, any speeches urging people to vote for or against a particular candidate or political party)?

No

12. Is there a fundraising component to the event? (*e.g.*, program advertisements; dinner ticket price; silent auction)? If so, please describe.¹

No

13. Expected role of U.S. Attorney (*e.g.*, simple attendance; remarks; speech)

Keynote remarks – 30 minutes total speaking time

14. If the U.S. Attorney is being honored:

N/A

- a. What are the criteria your organization applies to determine who should be honored for this specific award?

N/A

- b. What is the internal process by which your organization selects potential honorees?

N/A

- c. For what specific public service or achievement do you wish to honor the U.S. Attorney?

N/A

- d. Did any of the accomplishments of the U.S. Attorney which you wish to honor directly affect the organization or its members? (Describe.)

N/A

¹ For events that involve any fundraising leading up to or during the event: The United States Attorney may not participate in any active fundraising activity with respect to the event. Nor may the U.S. Attorney allow his name, position, or title to be used for any fundraising activity for your organization. If applicable, you may list his name as an awardee and/or speaker on the program and on invitations issued not more than 30 days prior to the event, along with other information about the program. He may not be listed on any “save the date” notices. Failure to comply with these limitations may preclude the U.S. Attorney from appearing at the event. If the U.S. Attorney is giving an official speech, he may be seated and have photos taken as appropriate for a speaker at the event, but you may not use his photo in connection with any other fundraising efforts.

- e. Do any of the board members or host committee or senior staff have any matters pending before or involving the United States Attorney's Office for the Southern District of New York?

N/A

- f. Please provide a description and the value of any award item (if the award item is a plaque, certificate or trophy of little intrinsic value, you may so indicate).

N/A

- g. Who else is expected to be honored at the event?

N/A

15. If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel?

N/A – keynote speaker, not on a panel

- a. Will the U.S. Attorney be presented with a token or memento in appreciation for his presentation?
 - i. ☒ Nothing
 - ii. ☐ Plaque or other memento of little intrinsic value
 - iii. ☐ Other. Please describe, including its value.

16. Describe any special seating arrangements for U.S. Attorney, *e.g.*, dais, general seating (depending on the nature of the event, the U.S. Attorney may or may not be able to accept "dais" seating.)

Podium setup on main stage

17. Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year's event).

The event is being promoted here:

www.sifma.org/cl2017